



ADMINISTRATIVE BULLETIN

Executive Office for Administration and Finance

Office of the Commissioner

SS, AF 1-4:76-6

May 28, 1976

76-6

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TO: ALL AGENCY HEADS

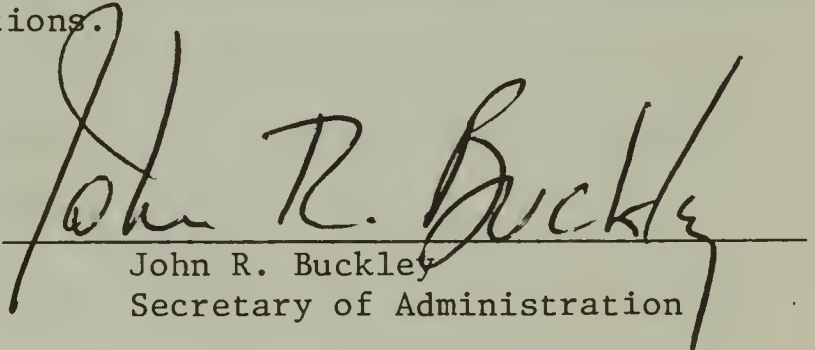
RE: GRANTS ADMINISTRATION

The regulations expressed in this Administrative Bulletin replace Administrative Bulletin 74-16, issued December 2, 1974. Several substantive changes have been made and should be given priority attention for implementation. Changes include:

- A) Section 2.03 Approval Procedure - the basic procedure that must be followed prior to submitting a grant reapplication to a Federal agency is identified.
- B) Section 2.08 Federal Funds Report - an MIS has been installed to assist State managers to administer the Commonwealth's grants administration policy. Data is to be collected within 20 days of the end of each quarter for the fiscal year. Non-compliance within the allotted time will automatically result in ALL Federal grants funds of the delinquent agency being frozen, and unavailable for expenditure. The Office of Federal/State Resources is available to assist any agency to complete Form AF-2C.

The current fiscal condition requires that the Commonwealth's dual objectives are to aggressively maximize Federal funds, and to do so with a cost conscious attitude. Standards for determining matching amounts have been promulgated. (see Paragraph 2.04C)

Publications cited in the regulations, and which should be available to every grant manager include U.S. OMB Circular 74-7 and 74-4, Massachusetts Comptroller's Accounting Manual, Part I (November 15, 1973), OMB Catalog of Federal Domestic Assistance. The Office of Federal/State Resources will assist agencies to obtain these publications, as well as answer questions about the regulations.


John R. Buckley
Secretary of Administration

PART 2. FEDERAL GRANTS

2.01 Application

No agency shall apply for, or receive Federal grants except in accordance with Section 2C of Chapter 29 of the General Laws and with Part 2 of these regulations.

2.02 Definitions

2.021 "Federal agency", any department, agency, commission or instrumentality in the Executive branch of the Federal government which makes grants to or contracts with State governments.

2.022 "Federal grant", an agreement between the Federal government and a State government whereby the Federal government provides funds or aid in kind to carry out specified programs, services, or activities, including funds or aid received in reimbursement for direct expenditure of appropriated State funds, but not including Federal Revenue Sharing, or reimbursement received under the Accelerated Highway Program.

2.023 "Office of Federal/State Resources", the Office of Federal/State Resources of the Executive Office for Administration and Finance.

2.024 "Grantee", an agency of the State that is the recipient of a Federal grant, or a Non-State entity that is the recipient of a Federal grant and is utilizing State owned facilities under a written agreement as required by the General Laws, Chapter 29 Section 2C.

2.025 "In-kind contributions", the value of non-cash contributions provided by (1) the grantee, (2) other public agencies and institutions, and (3) private organizations and individuals for a specific project. In-kind contributions may consist of the value of real property and equipment usage and the value of goods and services directly benefiting and specifically identifiable to the grant program.

2.026 "Matching share", that portion of project costs not borne by the Federal government.

2.027 "Non-State grantee", any individual (other than a State officer or employee acting in his official capacity as such), corporation or other organization which is receiving a Federal grant and is occupying or using land, buildings, equipment or facilities of the State or using services of any officer or employee of the State during his working hours.

2.03 Approval Procedure

2.031 (a) An agency applying or reapplying for a Federal grant shall prepare Form AF-2A and forward four (4) copies of the form and the grant application, or six (6) copies if the proposal exceeds \$1,000,000, or seven (7) copies if A-95 review is necessary, to the appropriate Secretary for review and approval.

(b) Upon granting approval, the Secretary shall sign all copies of the form, retaining one copy and the application, and forwarding the remaining copies to the Commissioner of Administration.

(c) The Commissioner of Administration upon receipt of the copies, shall forward one copy of the form and one copy of the application to the Budget Bureau and the Division of Personnel Administration, and where A-95 review is necessary, the Office of State planning - Clearinghouse, for review and approval.

(d) After review of the grant applications, the State Budget Director, Personnel Administrator, and the Director of the Office of State Planning shall indicate either approval, disapproval, or conditional approval by certifying Form AF-2A. The reasons for disapproval and conditional approval shall be attached to Form AF-2A. The form and attachments shall be returned to the Commissioner of Administration.

(e) For grant applications in excess of \$1,000,000, the Commissioner of Administration shall request the Chairman of the House Ways and Means Committee and the Chairman of the Senate Ways and Means Committee to indicate approval, disapproval or conditional approval on Form AF-2A and return said form together with any reasons for disapproval or conditional approval to the Commissioner.

(f) No application or reapplication including continuations shall be submitted to a Federal agency without prior approval of the appropriate Executive office, and the Commissioner of Administration.

(g) No expenditure account for funds to be received under such a grant shall be authorized by the Budget Director, nor shall any expenditures be certified for payment, until such approval as required under the preceding paragraph (f) is obtained.

2.04 Filing Standards for Federal Grants

Federal grant application or reapplication in the form required by the Federal agency shall be used. The current forms required by many federal agencies are shown in U.S. OMB Circular 74-7 (formerly A-102) Attachment M. The budget sections of the application shall include amounts for all necessary categories related to the particular program, with particular concern for the following categories:

a. Direct Charges

(i) The amount for fringe benefits should be calculated by multiplying the fringe benefit rate by the amount of total salaries shown under the object class category "Personnel" in the grant application. The "fringe benefit rate" is the rate certified annually to grant-receiving agencies by the Office of Federal/State Resources, as part of the State-Wide Cost Allocation Plan (see paragraph 2.05).

(ii) The amount for use of space in State-owned buildings occupied or to be occupied by grant supported personnel and activities shall be calculated as follows:

First, determine the actual area to be assigned to the project or program. If that is not practicable, using the standards developed by the Budget Bureau (Form SR-1), calculate the total square feet by reference to the number of personnel involved.

Secondly, multiply the number of square feet previously determined, times the square footage use charge of the building. These charges, as furnished by the Office of Federal/State Resources and contained in Administrative Bulletin 76-3 in compliance with the General Laws, Chapter 7 Section 3B, are currently available for

the State House, the Saltonstall Building, the McCormack Building, and all institutions operated by the Department of Public Health and Mental Health.

b. Indirect Costs

The amount for indirect costs shall be calculated by multiplying the indirect cost rate by the total amount of salaries or other direct cost base. The "indirect cost rate" is the rate calculated and approved as provided in paragraph 2.06.

c. In-Kind Contributions

Attachment F of U.S. OMB Circular 74-7 (formerly A-102) outlines uniform administrative requirements in the matter of cash and in-kind contributions for State agencies. If in-kind contributions are included in the non-federal resources part of the budget section of the grant application, an explanation and certification of availability of such contributions must be attached to it.

Use of amounts calculated by the application of approved indirect cost rates, space use charge rates, and the fringe benefit rate to satisfy in-kind matching requirements shall conform to the following provisions:

1. fringe benefits, indirect cost and space use charges attributable to personnel paid by appropriated State funds, whose salaries are used for matching purposes, shall in all cases be also used as match;
2. charges for indirect cost and space use charges attributable to personnel paid from grant funds may be used to satisfy in-kind matching requirements only when the applicant agency is unable to provide the full in-kind match from appropriated State funds. Justification that matching requirements can not be satisfied by use of appropriated State funds must be attached to Form AF-2A;
3. charges for indirect cost and space use charges attributable to personnel paid from grant funds result in cash recovery whenever the grant regulations do not include matching requirements;
4. charges for fringe benefits attributable to salaries and wages paid from grant funds must result in cash recovery in all cases.

2.05 State-Wide Cost Allocation Plan (SWCAP)

The Office of Federal/State Resources shall prepare and submit to the Federal Department of Health, Education and Welfare, for its review and approval, a State-Wide Cost Allocation Plan (SWCAP) prior to December 31 of each year. The SWCAP is a plan for allocating to each Federal grant, as an element of the indirect costs thereof, a portion of the costs of central State agencies that perform services for other State agencies.

Upon receiving approval of the SWCAP from DHEW, the Office of Federal/State Resources shall notify all grant-receiving agencies the share of approved state-wide costs which should be allocated to their grant programs.

2.06 Indirect Cost Rate

2.061 Within ninety days of the close of the fiscal year, each grant-receiving agency shall prepare one or more indirect cost rate proposal worksheet(s) (ICRP)s furnished by the Office of Federal/State Resources. The ICRP itself will be prepared in final form by the Office of Federal/State Resources.

2.062 The number and composition of ICRP(s) needed for an agency will depend on the organizational structure of the agency as it relates to its Federal grant program activities. The Office of Federal/State Resources, after consultation with each agency shall recommend the number and composition of the ICRP's to be prepared.

2.063 The following supporting documents must be prepared in conjunction with preparation of indirect cost rate proposal worksheets:

(a) a current and complete organization chart of the agency;

(b) a certification form (Form AF-2B);

(c) financial reports or comparable data provided by Comptroller's Form CD-82 as of the end of the most recent fiscal year, as used in the ICRP; and

(d) a listing of all Federal grants and contracts awarded to the agency, including in each case, the amount of Federal and Non-Federal funds involved and identification of the Federal grantor agency. The most recent Federal Fund Report (see paragraph 2.08), may be used for this purpose.

2.064 Upon preparation of the ICRP worksheets and other documents required by the preceding paragraphs, the agency shall submit the same to the Office of Federal/State Resources who will prepare a final ICRP adding such data as central cost allocations, amounts to be assigned from the Executive office, expenditures and such other central costs not included in the ICRP worksheet. The Office of Federal/State Resources shall then submit the final ICRP together with the supporting documents to the Secretary in charge of the Executive office to which the agency is assigned for his review and approval. Upon approval by the Secretary, he shall return the same to the Office of Federal/State Resources for submission to the cognizant Federal agency. The "cognizant Federal agency" is the Federal agency which has provided the greatest amount of Federal funds to the State agency, as identified in "A Reference for State and Local Governments", Document No. OASC-9, published by DHEW. Notwithstanding the foregoing, an agency may, with the approval of the appropriate Secretary of the Office of Federal/State Resources, submit the final ICRP(s) and supporting documents directly to the cognizant Federal agency provided that said State agency gives assurance that submission shall be made prior to December 31 preceding the fiscal year to which it applies and that said State agency distributes to the appropriate Secretary, the Office of Federal/State Resources and the Budget Bureau, copies of the ICRP(s) after approval by the cognizant Federal agency.

2.07 Accounting Process for Federal Grants

2.071 When a notice of grant award is received by an agency, a receipts account number must be obtained from the Comptroller and an expenditure account number must be requested by submission of Form BB31 to the Budget Bureau. This procedure is detailed in the Comptroller's Accounting Manual, Part I (November 15, 1973), Section XXVII, Section C.

2.072 If the Federal grant funds are by check or by letter of credit, they must be deposited with the State Treasurer, using the receipts voucher (Form CD-29). The receipts voucher shall include the following information;

- (a) Federal contract or grant number;

(b) Catalog of Federal Domestic Assistance number; and

(c) the amount of the receipts divided in two parts:

(i) The amount of the receipt for direct program purposes requiring cash expenditures.

(ii) The amount of the receipt for indirect cost, fringe benefits, and for direct program purposes not requiring cash expenditures. This shall be credited to -67-67-40 receipt accounts preceded by the four digit agency number. Amounts shall be credited to the -67-67-40 account immediately upon receipt of funds. Amounts payable to the Group Insurance Commission shall be transferred out of the -67-67-40 account of the agency to the Group Insurance accounts by written instructions to the Comptroller.

2.073 If the Federal funds are reimbursable after the expenditure of appropriated State funds, a receipts voucher (Form CD-29) shall be made out for the amount of the reimbursement check divided into two parts as explained in paragraph 2.071.

2.08 Federal Funds Report

2.081 All agencies, departments, boards, and commissions, shall prepare a Federal Funds Report, Form AF-2C, at the end of each quarter of the fiscal year for all Federal grants and contracts. Said reports shall be submitted to the Office of Federal/State Resources within twenty days after the end of the quarter of each fiscal year.

2.082 Upon receipt of completed Federal Funds Report, Form AF-2C, the Office of Federal/State Resources shall prepare such reports as are required by the Secretary of Administration and Finance, the State Budget Director, the State Comptroller, the State Auditor, the State Treasurer, the Chairmen of the House and Senate Committees on Ways and Means, the Joint Legislative Committee on Post Audit and Oversight, the Joint Committee on Federal Financial Assistance, and the Lieutenant Governor.

2.083 Should the Commissioner of Administration and Finance find that there has been a failure to comply with the requirements of subsection 2.081, he may, at his discretion, order no further payments of Federal grant funds until such time as he is satisfied that there is compliance.

2.09 Use of State Property or Services for Non-State Grantees

2.091 Any agency intending to permit a Non-State agency to occupy or use any land or building or other facilities owned or rented by the Commonwealth shall do so in accordance with the provisions of Chapter 7, Section 3B, and Chapter 29, Section 2C, and Administrative Bulletin 76-3.

2.09 Use of State Property or Services for Non-State Grantees

2.091 Any agency intending to permit a Non-State agency to occupy or use any land or building or other facilities owned or rented by the Commonwealth shall do so in accordance with the provisions of Chapter 7, Section 3B, and Chapter 29, Section 2C, and Administrative Bulletin 76-3.



The Commonwealth of Massachusetts

WORKSHEET CERTIFICATION

Form AF-2B
5/76

FEDERAL GRANT FUNDS
INDIRECT COST PROPOSAL

DEPARTMENT OR AGENCY:

DIVISION (S):

I hereby certify that the information contained in the attached indirect cost proposal worksheet for the fiscal year ended June 30, 19 ____ is correct and that I am authorized to file these proposals.

I further certify that the procedures were utilized

- (a) to prevent costs from being allocated to federal programs as indirect costs that have already been treated as direct program costs,
- (b) to assure that consistent treatment was accorded similar costs, and
- (c) to assure that no costs have been treated as indirect costs in violation of any statutory restrictions governing applicable federal programs.

DATE

AUTHORIZED SIGNATURE FOR AGENCY

TITLE



FEDERAL FUNDS REPORT for the Quarter Ended _____

1. DEPARTMENT	DIVISION
2. FEDERAL BUDGET ACCOUNT NUMBER	CATALOGUE NUMBER
COMMON NAME	
3. GRANTOR AND CONTACT	CONTRACT OR CORRESPONDENCE NO.
4. <input type="checkbox"/> GRANT (complete lines 6-10) <input type="checkbox"/> REIMBURSEMENT (complete lines 11-19) <input type="checkbox"/> Federal Funds are not received by this agency nor are such funds expected for the next 12 months.	

5. COLUMN DESCRIPTION: (Enter the date of the end of period as applicable in columns 2, 3 and 4)	Column 1 ACCOUNT NUMBER	Column 2 THIS QUARTER ENDED	Column 3 NEXT QUARTER ENDING	Column 4 Next 4 Qtrs (incl.col 3) ENDING
6. EXPENDITURE ACCOUNT NUMBER:				
7. AMOUNT OF STATE MATCH PROVIDED:				
8. ACCOUNT FROM WHICH STATE MATCH IS PROVIDED:				
9. AMOUNT AWARDED:				
10. ACTUAL RECEIPTS: A. SALARIES				
B. OTHER DIRECT EXPENDITURES				
C. FRINGE BENEFITS				
D. SPACE USE CHARGE				
E. INDIRECT COST				
F. FOR SUBGRANTS (TO BE PASSED THROUGH)				
G. TOTAL RECEIPTS				
11. APPROPRIATION ACCOUNT NUMBER:	AMOUNT APPROPRIATED:			
12. AMOUNT OF STATE MATCH PROVIDED:				
13. ACCOUNT FROM WHICH STATE MATCH IS PROVIDED:				
14. AMOUNT AWARDED:				
15. AMOUNT OF F.F.P. CLAIMED: A. SALARIES				
B. OTHER DIRECT EXPENDITURES				
C. FRINGE BENEFITS				
D. SPACE USE CHARGES				
E. INDIRECT COST				
F. TOTAL				
RECEIPTS (Identify the Amount and Period in which the cost was earned)				
A. ADVANCED FOR CURRENT PERIOD				
B. ATTRIBUTABLE TO PRIOR PERIOD				
17. DEFERMENTS (Identify the Amount and Period in which the cost was earned):				
18. DISALLOWED (Identify the Amount and Period in which it was Billed):				
19. ACTION NOT TAKEN BY GRANTOR (Identify the Amount and Period in which it was billed)				

I certify under penalty of perjury that the information on this form is true and correct, and that such information is based on records that are on file with this agency.

SIGNATURE OF AGENCY HEAD

TITLE

PREPARER'S SIGNATURE

DATE PREPARED

PHONE NUMBER

All funds received from the federal government must be accounted for on this form. An individual form must be completed for each individual grant or contract, and for each appropriation account for which reimbursement is being sought. Amounts are to be rounded to the nearest dollar. Enter a zero (0) to indicate blank data items. The term "Current" in all cases applies to the quarter that has just ended.

IDENTIFICATION SECTION

- Line 1** Identify your department and division, e.g. Department of Public Health, (Division) Lakeville Hospital.
- Line 2** Enter the Federal Budget Account number, the five-digit number (xx.xxx) by which this grant program is identified in the Catalog of Federal Domestic Assistance, and the common name.
- Line 3** Identify the source of funds, i.e. grantor or awarding authority, including the name, telephone number and address of the person in the federal agency who is in liason with the Commonwealth. Enter the contract or correspondence number that identifies your grant, as assigned by the federal grantor agency and used on reports to the grantor.
- Line 4** Check either GRANT (funds supplied by grantor prior to expenditure), REIMBURSEMENT (funds supplied by grantor after expenditure of appropriated state funds), or No federal funds. If federal funds are not received, the form is completed by certification by the Department Head.
- Line 5** Enter the applicable ending dates in column 2, 3, and 4 headings.
All four columns must be completed (except in shaded areas) to provide detail of actual and anticipated activity a continuous period of five quarters.
- Column 1 Enter the account no. into which the amounts shown in column 2 have been deposited or expended from
- Column 2 Enter the amount received and deposited during the three-month period now ended.
- Column 3 Enter the amount of anticipated receipts that are expected during the next three month period.
- Column 4 Enter the amount of receipts that are anticipated during the next twelve month period.

GRANT SECTION

- Line 6** Enter the expenditure account number assigned by the Budget Bureau.
- Line 7** Enter the amount of State hard cash matching funds or in-kind match provided. Definitions and federal guidelines about matching shares are promulgated in GSA Circular FMC 74-4, attachment F.
- Line 8** Identify the source of the amount of match listed on Line 7, e.g. appropriation account no., fringe benefit rate, etc.
- Line 9** Indicate the total contract award of which notification was received during the current period. Notification of grant award is not to be confused with receipts.
- Line 10** Identify total actual receipts by budget category:
- A Enter the total amount received and deposited with the State Treasurer that was granted for direct salaries.
- B Enter the total amount received and deposited with the State Treasurer that was granted for total direct expenditure other than salaries and subgrants, e.g. sum of travel, equipment, rental of privately owned space, etc.
- C,D,E List the amounts, separately, that were received and deposited with the State Treasurer that were charged to the grant for recovery of fringe benefits (Group Insurance, Pensions, and Workmen's Compensation), Space Use Charges (for use of state-owned buildings), and Indirect Cost.*
- F If the grant receipts from the federal government include funds that your agency will subgrant or pass through to other agencies, enter this amount.
- G Enter the total amount received from the federal government during this period. The sum of A,B,C,D,E must be reconcilable to the Comptroller's records. Enter projected estimates in columns 3 and 4.

REIMBURSEMENTS SECTION

- Line 11** Enter the appropriation account number as it appears in the appropriation act, and the amount appropriated for the current fiscal year.
- Line 12** Enter the amount of State hard cash matching funds or in-kind match provided. Definitions and federal guidelines about matching shares are promulgated in GSA Circular FMC 74-4, attachment F.
- Line 13** Identify the source of the amount of match listed on Line 14, e.g. appropriation account number, fringe benefit rate, etc., if different from Line 15.
- Line 14** Indicate the total contract award during the period in which notification is received.
- Line 15** Enter the amount that the State agency has earned for reimbursement from the federal government. Distinguish between Direct Salaries and other direct non-salary costs (earned by expenditure of state funds appropriated to the agency), Fringe Benefits (Group Insurance, Pension, Workmen's Compensation), Space Use Charges (for use of state-owned space), and Indirect Costs.* The total must equal the amount of the claim submitted to the federal government for reimbursement.
- Line 16** Enter in column 2 the amount received during this quarter and the period in which the cost was earned, in column 1 the account number in which the receipts were deposited, and in columns 3 & 4 the projected receipts.
- Line 17** Enter the amount deferred during this quarter and show the period in which it was earned.
- Line 18** Enter the amount disallowed during this quarter and show the the period in which it was earned.
- Line 19** Enter the amount of claims submitted for reimbursement on which the grantor has not acted, i.e. paid, deferred or disallowed.

* Space Use Charge rates (for use of state owned space) and Indirect Cost rates are available from the Office of Federal/State Resources.



COMMONWEALTH OF MASSACHUSETTS
ADMINISTRATIVE BULLETIN

Executive Office for Administration and Finance

Office of the Commissioner

MASS. AF-4: 76-7

June 4, 1976

U OF MASS/AMHERST LIBRARY

76-7

TO: ALL AGENCY HEADS

RE: REVISION OF ADMINISTRATIVE BULLETIN 74-4

Pursuant to the authority granted by Chapter 1230, Acts of 1973, the following instructions amending Administrative Bulletin 74-4 become effective on July 1, 1976.

1. The Form AF-4 has been revised and includes required additional information to be completed on the back. Total completion of the form is necessary as a prerequisite for date and time stamping by the Comptroller's Division. A one-time mailing of the new Form AF-4 will be made to each Secretariat/Independent agency prior to June 15, 1976 and a copy is attached to this bulletin. Additional copies of the form may be obtained at Central Reproduction, Room P-11, J. W. McCormack Building, 1 Ashburton Place, Boston.

2. The AF-4 must be personally signed by the agency head or a person authorized to sign in his place. The signature on the AF-4 indicates approval of the form in its entirety.

3. Secretaries should familiarize themselves with the established rules as defined in:

- a. G.L., Chapter 29, Section 29A
- b. Chapter 1230, Acts of 1973
- c. Administrative Bulletin 74-4

4. Secretaries (or their designees) are to be fully aware of their responsibility prior to signing AF-4 forms under the penalty of perjury.

The basic criterion for determining whether a consultant is to be paid through the "03" payroll mechanism as opposed to the standard invoice and warrant mechanism is the degree of control. Guidance follows.

INDEPENDENT CONSULTANTS

"03" Standard Invoice Payments

These consultants may be individuals, partnerships or corporations. They have

peculiar abilities not available in legislatively approved positions. They are independent consultants providing products or services not requiring the direct control of state officers or employees as to the means and methods to be utilized in the performance of the work. Secretarial control over program definition, length, anticipated results and price is required and understood. They are to be treated for payment purposes as any other vendor and are to submit standard invoices.

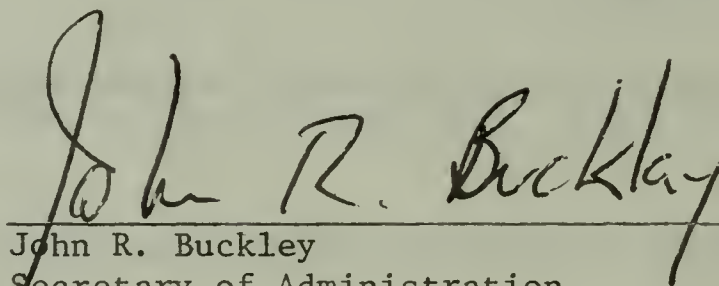
CONSULTANTS PROVIDING INDIVIDUAL SERVICES UNDER DIRECT CONTROL

"03" Standard Payroll Payments

These consultants are individuals who are providing services and are under the direct control and supervision of state officers or employees and are required to be subject to their instructions not only as to the result to be accomplished, but also as to the means and methods that are to be utilized in the performance of the work.

They are to be treated as employees for payment purposes and remunerated only through the "03" payroll mechanism.

Any questions as to procedure or interpretation of Administrative Bulletin 74-4 or this amendment should be presented to the Secretary of Administration or his designee for a ruling.



John R. Buckley
Secretary of Administration

Attach.

AUTHORIZATION OF SERVICES

Form AF-4 (5/76)

AGENCY NAME		DIVISION		DATE PREPARED
APPROPRIATION ACCT. NO.	AGENCY SEQ. NO.	OBJECT CODE	FUNDS <input type="checkbox"/> STATE <input type="checkbox"/> FEDERAL	

TYPE OF REQUEST: Check if applicable

- ☐ This is a request to renew or modify a previously approved authorization dated _____, reference no. _____.
- ☐ This is a request for a blanket service authorization. Justification is shown below in item 2.

DESCRIPTION OF SERVICES AND JUSTIFICATION:

3. DURATION

CONTRACTORS: (not required if blanket services)

(IF INSUFFICIENT SPACE, ATTACH SEPARATE STATEMENTS)

. Names & addresses

. Qualifications

. Other income from the Commonwealth or subdivisions

SOURCE

\$

AMOUNT

. Names & addresses of other persons having any financial interest in the contract (incl. ownership of +1% corp. stock)

COMPENSATION: A. Rate \$ _____ per _____
(SERVICE OR PRODUCT)

B. Maximum obligation \$ _____

RATE APPROVAL: The above rate is - (check applicable items)

- ☐ In compliance with rate schedules - (service or classification: _____)
- ☐ Lowest qualified bid or proposal from three or more bids or proposals.
- ☐ Not in excess of previously approved rate for these services.

Subject to approval of the ☐ Personnel Administrator ☐ Rate Setting Commissioner☐ APPROVED ☐ NOT APPROVED - Reason:

_____, Administrator / Commissioner

SIGNATURE _____ DATE _____

THE COMPTROLLER:

is hereby certified under penalty of perjury that, to the best of my knowledge and belief, all statements made on both sides of this form are true and that I am familiar with G.L. Chapter 29, Section 29A, Chapter 1230 of the Acts of 1973, and Administrative Bulletin 74 - 4.

is also certified that sufficient funds are available in the above appropriation account for the purposes of this authorization.

AGENCY HEAD

TITLE

DATE

AUTHORIZATION ☐ APPROVED ☐ NOT APPROVED - Reason:

SECRETARY'S SIGNATURE

EXECUTIVE OFFICE

DATE

COMMISSIONER OF ADMINISTRATION

_____, Executive Office for Administration and Finance

DATE

Data Processing (DP) related requests only

Reverse side must be completed

peculiar abilities not available in legislatively approved positions. They are independent consultants providing products or services not requiring the direct control of state officers or employees as to the means and methods to be utilized in the performance of the work. Secretarial control over program definition, length, anticipated results and price is required and understood. They are to be treated for payment purposes as any other vendor and are to submit standard invoices.

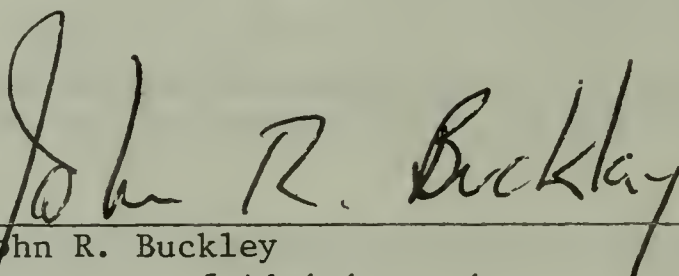
CONSULTANTS PROVIDING INDIVIDUAL SERVICES UNDER DIRECT CONTROL

"03" Standard Payroll Payments

These consultants are individuals who are providing services and are under the direct control and supervision of state officers or employees and are required to be subject to their instructions not only as to the result to be accomplished, but also as to the means and methods that are to be utilized in the performance of the work.

They are to be treated as employees for payment purposes and remunerated only through the "03" payroll mechanism.

Any questions as to procedure or interpretation of Administrative Bulletin 74-4 or this amendment should be presented to the Secretary of Administration or his designee for a ruling.



John R. Buckley
Secretary of Administration

Attach.

AUTHORIZATION OF SERVICES

AGENCY NAME		DIVISION		DATE PREPARED
APPROPRIATION ACCT. NO.	AGENCY SEQ. NO.	OBJECT CODE	FUNDS <input type="checkbox"/> STATE <input type="checkbox"/> FEDERAL	

1. TYPE OF REQUEST: Check if applicable

- ☐ This is a request to renew or modify a previously approved authorization dated _____, reference no. _____.
- ☐ This is a request for a blanket service authorization. Justification is shown below in item 2.

2. DESCRIPTION OF SERVICES AND JUSTIFICATION:

3. DURATION

4. CONTRACTORS: (not required if blanket services)

(IF INSUFFICIENT SPACE, ATTACH SEPARATE STATEMENTS)

A. Names & addresses

B. Qualifications

C. Other income from the Commonwealth or subdivisions

SOURCE\$ AMOUNT

D. Names & addresses of other persons having any financial interest in the contract (incl. ownership of +1% corp. stock)

5. COMPENSATION: A. Rate \$

per

(SERVICE OR PRODUCT)

B. Maximum obligation \$

6. RATE APPROVAL: The above rate is - (check applicable items)

- ☐ In compliance with rate schedules - (service or classification: _____)
- ☐ Lowest qualified bid or proposal from three or more bids or proposals.
- ☐ Not in excess of previously approved rate for these services.

Subject to approval of the ☐ Personnel Administrator ☐ Rate Setting Commissioner☐ APPROVED ☐ NOT APPROVED - Reason:

_____, Administrator / Commissioner

SIGNATURE

DATE

TO THE COMPTROLLER:

It is hereby certified under penalty of perjury that, to the best of my knowledge and belief, all statements made on both sides of this form are true and that I am familiar with G.L. Chapter 29, Section 29A, Chapter 1230 of the Acts of 1973, and Administrative Bulletin 74 - 4. It is also certified that sufficient funds are available in the above appropriation account for the purposes of this authorization.

AGENCY HEAD

TITLE

DATE

AUTHORIZATION ☐ APPROVED ☐ NOT APPROVED - Reason:

SECRETARY'S SIGNATURE

EXECUTIVE OFFICE

DATE

*, Executive Office for Administration and Finance

COMMISSIONER OF ADMINISTRATION

DATE

* Data Processing (DP) related requests only

Reverse side must be completed

The two types of consultants, their definition and descriptions are:

A. CONSULTANTS PROVIDING INDIVIDUAL SERVICES UNDER DIRECT CONTROL

These consultants are individuals who are providing services and are under the direct control and supervision of state officers or employees, and are required to be subject to their instructions, not only as to the result to be accomplished but also to the means and methods that are to be utilized in the performance of the work.

They are to be treated as employees for payment purposes and remunerated only through the "03" payroll mechanism.

This contractor is: ☐ State Funded, subject to payroll withholding ☐ Federal Funded, subject to payroll withholding.

And is engaged: ☐ Full Time ☐ Part Time ☐ Seasonally

And further is: ☐ Male minority ☐ Male non-minority ☐ Female minority ☐ Female non-minority ☐ Female JG 15 and above

B. INDEPENDENT CONSULTANTS

These consultants may be individuals, partnerships or corporations. They have unique abilities not available in legislatively approved positions. They are independent consultants providing products or services not requiring the direct control of state officers or employees as to the means and methods to be utilized in the performance of the work.

Secretarial control over program definition, length, anticipated results and price is required and understood.

They are to be treated for payment purposes as any other vendor, and are to submit Standard Invoices.

This contractor is: ☐ State Funded ☐ Federal Funded

Completion and transmission instructions:

Filing agencies not assigned to an Executive Office should complete and transmit one copy with all required attachments (see below) to the Comptroller, and two copies of this form only to the Commissioner of Administration.

Agencies assigned to an Executive Office should transmit the completed form to the applicable Executive Office, in accordance with instructions of such office. Upon approval, the Secretary should file copies as prescribed above.

Explanation of Items:

Item 1. For renewal or modification, give date and reference number of previous authorization.

For blanket service authorization it is not necessary to furnish information requested in item 4. However, it is necessary to justify in item 2 the use of a blanket service and to state the object code within which the service will fall.

Item 2. Describe nature of services and justify need for services.

Item 4. Attach separate statements if necessary.

B. State qualifications of contractor to perform the services described in item 2.

C. List, by source and amount, all other income being derived by the contractor as of the date shown at top of form.

D. List names and addresses of all persons (individuals or organizations) other than the contractor, having a financial interest in the contract. If the contractor is a corporation, list all persons owning more than one percent of its capital stock.

Item 5. A. State the rate per unit of service or per product, identifying the unit and/or product.

NOTE: IF THE SERVICES DESCRIBED ON THIS FORM INVOLVE DP OR RELATED SERVICES/EQUIPMENT, FORMS AF-8B AND AF-8C MUST ALREADY HAVE BEEN PROCESSED AND APPROVED BY THE COMMISSIONER OF ADMINISTRATION. ATTACH COPIES OF THE APPROVED AF-8B & C TO THIS FORM AF-4.

THE FINAL APPROVAL ON DP REQUESTS IS THE COMMISSIONER OF ADMINISTRATION.



COMMONWEALTH OF MASSACHUSETTS

ADMINISTRATIVE BULLETIN

Executive Office for Administration and Finance

Office of the Commissioner

ASS. AF 1. 4: 76-8

OF MASSACHUSETTS LIBRARY

June 4, 1976

76-8

TO: ALL STATE AGENCIES

RE: REPEAL OF ADMINISTRATIVE BULLETIN 73-9 AND ISSUANCE
OF NEW SECTION 8 OF ADMINISTRATIVE BULLETIN 74-4

The attached regulations, filed with the Secretary of State after public hearing and issued pursuant to Chapter 7, Section 4 and Chapter 29, Sections 27B and 29A, of the Massachusetts General Laws, are repealing Administrative Bulletin 73-9 (Acquisition or Lease of Automated Data Processing Equipment), and replacing Section 8.10 thru 8.136 of Administrative Bulletin 74-4 (Automated Data Processing and Reproduction Equipment and Systems).

From this date forward, these regulations shall govern all Data Processing contracts for acquisition of Data Processing equipment (hardware), Data Processing systems (software) and all Data Processing services contracts, including services performed by individuals, partnerships, and/or corporations.

There are three points of particular note regarding this change in data processing policy I want to bring to everyone's attention.

1. Outstanding Contracts or RFPs: in those situations where there are either contracts or RFP's that have already been approved and are now in some stage short of final delivery, requests may be made by the Secretary to the Selection Board for an immediate recommendation to the Commissioner of Administration for approval of that contract or RFP. It is anticipated that this process will allow immediate action on such requests.

2. Minor Acquisitions: in those situations where acquisitions of a minor nature are envisioned, secretaries may request that the Selection Board recommend to the Commissioner of Administration and Finance immediate disposition of the request, and again it is anticipated that such recommendations will be acted on immediately.

3. Secretariat Annual EDP Plan: in regard to the Secretariats' EDP Annual Plan, all Secretaries are required to prepare, by no later than June 30, 1976, a comprehensive inventory of all equipment, software, and applications. In addition, the Secretaries should submit a list of their top priority systems development and acquisition projects for the next year by June 30. Though these inventories and priority listings should not be construed as final Secretariat EDP Annual Plans, they will serve as an interim set of guidelines for the Secretaries and A&F in evaluating the need for acquiring new systems, services or equipment.

Until the preliminary inventories and priority listings are received from the Secretaries, no new acquisitions will be allowed whether they are under an outstanding RFP or not.

All questions regarding these regulations should be referred as follows:

Photocopy

Photocopy Coordinator
Central Reproduction, Room P-11
J. W. McCormack Building
1 Ashburton Place, Boston, MA. 02108
Telephone: 727-6232

Duplicating/Offset Printing Equipment

Central Reproduction
J. W. McCormack Building, Room P-11
1 Ashburton Place, Boston, MA. 02108
Telephone: 727-6232

Microfilm

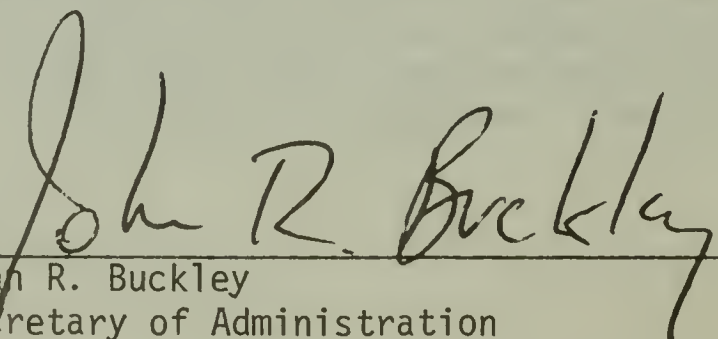
Supervisor, State Records Center and Microfilm Facility
Grafton State Hospital
Grafton, MA. 01519

Maintenance or Service Agreements

To applicable information point

Data Processing Equipment, Data Processing Reproduction Equipment, Data Processing Systems, and Related Services

Director, Bureau of Data Processing and Telecommunications
J. W. McCormack Building, Room 819
1 Ashburton Place, Boston, MA. 02108
Telephone: 727-3682



John R. Buckley
Secretary of Administration

PROCUREMENT PROCEDURES FOR DATA PROCESSING EQUIPMENT, DATA PROCESSING
REPRODUCTION EQUIPMENT, REPRODUCTION EQUIPMENT, DATA PROCESSING SYSTEMS,
AND RELATED SERVICES

(1) Application

No agency, excepting the departments of the attorney general, state auditor, state secretary, and state treasurer, and agencies thereunder, shall initiate any encumbrance or make any expenditure of state or federal funds, whether appropriated or not, for the lease or purchase of data processing related and other reproduction equipment, automatic data processing equipment, software, systems or services, except in compliance with Sections 27B and 29A of Chapter 29 of the Massachusetts General Laws and Parts A and B of these regulations.

(2) Authority

These regulations are promulgated under authority of Chapter 7, Section 4, Chapter 29, Sections 27B and 29A of the Massachusetts General Laws.

(3) Definitions

As used in these regulations, the following terms shall, unless the context clearly requires otherwise, have the following meanings:

- A) Form AF-8A - The form for all reproduction equipment requests.
- B) Form AF-8B - The form for all data processing equipment or systems requests.
- C) Form AF-8C - The form for all data processing services requests.
- D) Data Processing Equipment - (DP Equipment), equipment designed for the automated storage, manipulation, and retrieval of data by electronic or mechanical means

or both, including those devices related to the reproduction of computer input/output documents, data entry, telecommunications, offline preprocessors or printers or communications terminals.

E) Data Processing System - (DP System), an interacting assembly of procedures, processes and methods including DP software packages designed to perform a series of automated data processing operations to achieve specific results.

F) Data Processing Services - (DP Services), any contract or any agreement for a fee related to the following products or services:

- (1) All DP service bureau operations;
- (2) Maintenance of DP equipment or systems;
- (3) Data Processing software packages;
- (4) Data Processing systems development, including, but not limited to, analysis, design, coding, testing, and implementation; and,
- (5) Consulting (including contracts performed by individuals, partnerships, and/or corporations) for DP equipment, systems or services.

G) Software - The totality of programs and routines used to extend the capabilities of automated data processing equipment such as operating systems, compilers, assemblers, utilities, library routines, maintenance routines, and production programs.

II) Request for Proposal - (RFP), is a set of specifications that is given vendors/offers requesting them to propose, by bidding, equipment, systems or services to meet the stated specifications. The RFP process is comprised of two parts: a Technical Requirements Review segment; and, a Cost Performance Proposal segment.

Part I - Technical Requirements Review - (TRR), is a document prepared under the direction of the chairperson of the selection board provided to interested vendors/offers containing information to enable vendors/offers to prepare a comprehensive statement of qualifications. The TRR specifications will include, but not be limited to, workload, volumes, conversion aides and communications. The TRR completed will provide the Selection Board with information concerning the technical abilities of the vendor to respond to a Cost Performance Proposal. The TRR will be considered as Part I of a Request for Proposal Process. See Example A for sample TRR outline.

Part II - Cost Performance Proposal - (CPP) is a document prepared under the direction of the chairperson of the Selection Board sent to vendors/offers who have been selected after the TRR process has been completed, requesting vendors to propose, by bidding, equipment, systems or services to meet the stated specifications. The CPP will be considered as Part II

of a Request for Proposal Process. See Example B for a sample CPP outline.

- I) Secretariat EDP Annual Plan - The Secretariat EDP Annual Plan is a document which will incorporate all planned EDP acquisitions of equipment, systems, or services by that Secretariat's agencies, departments or offices during the next fiscal year.
- J) Commonwealth Master EDP Plan - The Commonwealth Master EDP Plan is a plan prepared by the Commissioner of Administration and Finance which will establish the data processing priorities of the Commonwealth.
- K) Contract - A legally forceable agreement for the provisions of services by a contractor, vendor or individual in consideration of compensation to be paid by the Commonwealth, executed in the name of the Commonwealth by an agency thereof.
- L) Vendor/Offeror - The party agreeing to provide services in a contract. For purposes of these regulations the term "contractor" shall be used in place of the term "consultant", as used in Section 29A of Chapter 29.
- M) Individual - A natural person.
- N) Corporation or Partnership - Legal entity registered with the Secretary of State's Office and authorized to do business with the State.
- O) Product Contract - A contract providing for the production of one or more discrete, self-contained products specifically identified in the contract, such as a system, report, plan, design, training program, which product is not

defined in terms of the actual number of man-hours of service required to produce it, but is defined in terms of a pre-determined or fixed rate for the delivery of a defined product.

4) Prior Budgetary Request

No request for rental, lease or purchase of data processing equipment, systems, or services may be made with state or federal funds unless a prior request has been made to the budget director as part of either a general or supplementary budget request pursuant to Section 3 or Section 4 of Chapter 29 of the Massachusetts General Laws. A statement of the duration of the funding is required from the budget authorities of either the state or federal governments. The requesting Secretary or, in those cases where a board, commission, or agency is not assigned to a Secretariat, the head of such board, commission, or agency shall certify to the Commissioner of Administration and Finance that there are, in an account appropriate for the purpose, sufficient funds to meet the full cost of the requested lease, rental or purchase.

PART 8A

5) REPRODUCTION EQUIPMENT OR SYSTEMS

Reproduction equipment or systems is defined as equipment or a configuration of equipment designed for reproduction of documents by means of any photocopying, microfilming, high speed duplicating or offset printing process including any special system specifications for particular uses of such equipment or any program for regular maintenance or service of such equipment.

Photocopy

The Commonwealth acquires photocopy equipment from a statewide contract. The three most common volume areas are services by one vendor who has been awarded a contract after bid competition. There is one category of equipment known as Category "D" which is competitively bid monthly or on a "need basis". All photocopy equipment transactions require the use of Form AF-8A.

Microfilm

There is no statewide contract for microfilm equipment. Agencies needing that type of capability will complete the Form AF-8A and forward for Secretarial and Commissioner of Administration approval.

Duplicating or Offset Printing Equipment

All forms of high speed duplicating equipment, including for example the Xerox 9200, Multigraph-Multilith 2850, A.B. Dick 367A, etc. require completion of the Form AF-8A with appropriate approvals.

Maintenance and Service Agreements

All systems and service agreements made outside the original rental or lease agreement are subject to AF-8A approval procedures.

PART 8B

6) PROCUREMENT PROCEDURES FOR DATA PROCESSING EQUIPMENT, SYSTEMS OR SERVICES

A. Acquisition Request

As agency data processing needs develop, the agency will request from its Secretariat, an approval to initiate the acquisition process for data processing equipment and/or services. The Secretary will review the agency request to determine whether the request is in conformance with the approved Secretariat EDP Annual Plan. The Secretary will then determine whether the request should be implemented. If approved by

the Secretary, the request will be forwarded to the Bureau of Data Processing and Telecommunications in the Executive Office for Administration and Finance.

In the case of data processing equipment, software and other related devices, the Secretary's requesting document will be Form AF-8b (DATA PROCESSING REQUEST). In the case of Data Processing Services, the Secretary's requesting document will be Form AF-8c (AUTHORIZATION FOR DATA PROCESSING SERVICES).

B. Executive Office for Administration and Finance Initial Review and Notification

The Bureau of Data Processing and Telecommunications will review all AF-8bs and data processing-related AF-8cs approved by the Secretaries to determine whether they are in conformance with the Commonwealth EDP Master Plan. The Bureau of Data Processing and Telecommunications will advise the Commissioner of Administration and Finance as to the priority of the request within the Commonwealth EDP Master Plan. If the AF-8bs and AF-8cs have been determined to be in conformance with the Commonwealth EDP Master Plan and satisfy the priorities of the Master Plan, the Commissioner of Administration and Finance will notify the requesting Secretariat of the approval.

Those AF-8bs and AF-8cs determined not to be in conformance with the Commonwealth EDP Master Plan or which have been designated low priority within the Commonwealth EDP Master Plan will be returned to the sending Secretariat. The sending Secretariat has the right of appeal to the Commissioner of Administration and Finance.

C. Selection Board

When an approved request from a Secretary has been approved by the

Commissioner of Administration and Finance, the Commissioner shall establish a Selection Board. This Board will be responsible to the Commissioner for coordinating the development of a comprehensive study; vendor solicitation; review; evaluation and benchmark of the proposals; contract negotiations; and the award. The Board shall include a chairperson appointed by the Commissioner of Administration, personnel from the requesting agency, personnel from the requesting Secretariat and such other personnel deemed necessary by the Commissioner. The chairperson shall be responsible for assigning tasks and duties to the other members of the Selection Board and for making regular progress reports to the Commissioner. Where Federal regulations require a requesting agency to perform an evaluation and make recommendations thereon, the Selection Board will assist in this process.

D. Comprehensive Study

The comprehensive study is made up of three parts: a Feasibility Study, a Notification of Approval, and a Requirements Study.

1. Feasibility Study

The feasibility study will consist of an examination of the existing systems status and an evaluation of the request as it pertains to the needs of the requesting Secretariat's agency.

The feasibility study will consider the impact of the proposed acquisition or services on the requesting Secretariat's agency's present system or structure; the compatibility with existing systems and cost implications and personnel requirements. In addition, the study will assess the impact of the proposed acquisition or services on overall Commonwealth data processing policy.

Following the feasibility study, the chairperson of of the Selection Board will file a written report with the Director of the Bureau of Data Processing and Telecommunications and to the requesting Secretary. This report shall include a determination of the Board's recommendations for implementation or denial of the request.

2. Notification of Approval or Disapproval to Requesting Secretary

When the Director of the Bureau of Data Processing and Telecommunications receives the recommendation of the Selection Board, he will either approve or disapprove the acquisition of systems, services, or equipment, on behalf of the Commissioner of Administration and Finance and so notify the requesting Secretary. If disapproved, the Director of the Bureau of Data Processing and Telecommunications on behalf of the Commissioner of Administration and Finance will forward documentation to the requesting Secretary specifying reasons for disapproval. If the Secretary does not agree with the decision of the Director of Data Processing and Telecommunications, the requesting Secretary's recommendation, the Selection Board's recommendations, and those of the Director of Data Processing and Telecommunications will be forwarded to the Commissioner of Administration and Finance for final disposition. If approved, the guidelines defining the selection procedure for equipment, systems, or services, shall be announced by the Director of the Bureau

Data Processing and Telecommunications.

The Director of the Bureau of Data Processing and Telecommunications may recommend to the Commissioner of Administration and Finance the need for additional personnel to augment the Selection Board to accomplish the procurement.

3. Requirements Study

The Selection Board upon receipt of the approved recommendations from the Commissioner of Administration and Finance or the Director of the Bureau of Data Processing and Telecommunications for acquisition of services or equipment shall:

- a) Complete the Requirements Report (See Example C) of this regulation.
- b) Prepare the Technical Requirements Review (TRR).

E) VENDOR/OFFEROR SOLICITATION

1. Notification to Vendors/Offerors and General Information Meeting

Upon approval of a request, the Purchasing Agent's Division shall:

- a) advertise for vendors to respond to the TRR and/or b) notify vendors specifically identified by the Selection Board to attend a general information meeting outlining the request for data processing equipment or services. A Technical Requirements Document shall be distributed to those vendors/offerors in attendance. Technical Requirements Documents shall be mailed to vendors/offerors upon request should, for some reason, a vendor be unable to attend the general meeting.

2. Individual Vendor/Offeror Meetings

After the written responses to the TRR have been received and reviewed, the Director of the Bureau of Data Processing and Telecommunications on behalf of the Commissioner of Administration and Finance through the Purchasing Agent will notify the vendors/offers to appear and make oral presentations on their proposed approach to the problem and answer any questions posed by the Selection Board. The Director of Data Processing and Telecommunications on behalf of the Commissioner of Administration and Finance through the Purchasing Agent reserves the right at this point to disqualify a vendor/offers who in his judgement is non-responsive to the problem as stated, and/or who fails to comply with the guidelines for submission of documentation.

3. Request for Proposal (RFP) and Evaluation Criteria

The Selection Board will prepare the RFP (Part 2, Cost Performance Proposal). The Director of the Bureau of Data Processing and Telecommunications on behalf of the Commissioner of Administration and Finance will develop policies and procedures to evaluate and rank the proposals received from the vendors as a result of the CPP.

4. Issuance of RFP - Cost Performance Proposal

Director of the Bureau of Data Processing and Telecommunications shall forward sufficient copies of the CPP to the Purchasing Agent, together with a list of the recommended vendors/offers from the TRR process and a purchase order from the requesting Secretariat's agency.

The Purchasing Agent shall register-mail copies of the CPP to selected vendors/offers. On a pre-determined date the Purchasing Agent shall make public the bids submitted by the selected vendors. The Purchasing Agent shall forward the responses of vendors/offers to the CPP to the Director of Data Processing and Telecommunications.

F) REVIEW, EVALUATION, BENCHMARK

1. Review

All CPPs will be reviewed by the Selection Board, to insure that they meet all of the mandatory requirements. The Selection Board will file a report to the Director of the Bureau of Data Processing and Telecommunications as to the adequacy of the CPP.

2. Evaluation

The CPPs that have met the mandatory requirements will be evaluated in accordance with criteria established by the Director of Data Processing and Telecommunications.

3. Benchmark

If a benchmark is required, the Selection Board will, with the cooperation of the vendors/offers to be benched, establish location and dates for such performances. The Commonwealth in no way will incur any cost involved with benchmark performances.

4. Vendor Selection

At the conclusion of the review and benchmark, the Selection Board will identify the vendor/offers it is recommending to receive the award to the Director of the Bureau of Data Processing and Telecommunications.

G) CONTRACT NEGOTIATIONS

The Commonwealth will enter into negotiations with the selected vendor/offeror. Upon satisfactory completion of these negotiations, the Commonwealth through the Purchasing Agent will award the contract to the vendor/offeror. Failure to complete contract negotiations within a time period determined by the Purchasing Agent will allow the Commonwealth to disqualify that vendor/offeror and commence negotiations with the second ranking vendor/offeror.

H) AWARD

The Commonwealth, through the Purchasing Agent will make the award. The Director of the Bureau of Data Processing and Telecommunications on behalf of the Commissioner of Administration and Finance shall notify in writing all vendors/offerors whether such offer has been accepted or rejected.

7. EMERGENCY PROVISIONS

In the event that an unplanned need or other circumstance arises for which inaction would have serious consequences, and if after consultation with the Director of the Bureau of Data Processing and Telecommunications the expenditure is deemed appropriate, the Commissioner of Administration and Finance may authorize expenditure subject to any other restrictions in effect at the time.

EXAMPLE A

SUGGESTED TECHNICAL REQUIREMENTS REVIEW OUTLINE

(The Technical Requirements Review Outline is to provide interested firms with information to enable them to prepare them for qualified presentations.)

- (1) Purpose
- (2) Timetable
- (3) Evaluation Criteria
- (4) Pre-qualification conference
- (5) Oral Presentations
- (6) Prime contractor responsibilities
- (7) Hardware requirements
- (8) Software requirements
- (9) Conversion aids
- (10) Education and training
- (11) Qualification presentation format

EXAMPLE B

SUGGESTED COST PERFORMANCE PROPOSAL OUTLINE

- (1) Identification number
- (2) Purpose
- (3) Scope
- (4) Inquiries (directed to State Purchasing Office and Executive Office for Administration and Finance)
- (5) Oral presentations. An opportunity for selected vendors to clarify their proposals.
- (6) Acceptance of proposal. (Criteria as to cost, technically superior, delivery, etc.)
- (7) Proposal preparation (format, number of copies)
- (8) Proposal acceptance period
- (9) Right to reject proposals by the Commonwealth
- (10) News releases
- (11) Site visits
- (12) Schedule of events for the RFP
- (13) Proprietary information
- (14) Certification of non-discrimination
- (15) Penalty clause
- (16) Standard of performance for final acceptance
- (17) Rights of data
- (18) Mandatory requirements
- (19) Availability of equipment and software

Example B continued

- (20) Recording of operational use of equipment and/or software
- (21) Prime contractor responsibility (if required)
- (22) Certificate of guarantee
- (23) Selected vendor's proposed contract
- (24) Proposed format

EXAMPLE C

SUGGESTED REQUIREMENTS REPORT OUTLINE

The requirements report will be completed by the Selection Team. The contents will include, but not be limited to, the following:

I. Statement of the problem

This section will contain a brief statement of the basic problem.

II. Description of the requirement

This section will contain a complete description of the proposed procurement to include:

- (a) The nomenclature of proposed equipment
- (b) Operational features required to include software, communications, interfaces with other equipment, etc.
- (c) Proposed location
- (d) Estimated operational usage of the proposed equipment expressed in number of hours of each duty, shift and days per week
- (e) Description, volume and quality standards of the proposed service
- (f) Description of the proposed software
- (g) Estimated usage of the proposed software
- (h) Estimated cost for each fiscal year of the proposed procurement, as well as the proposed method of payment
- (i) Recommended method of procurement, i.e., competitive, sole source
- (j) If the proposed procurement constitutes the initial increment of a multi-year similar procurement, describe the type, quantity, timing and estimated cost for the

additional procurements. Present the reasons which support separate procurement actions as opposed to one procurement.

III. Supporting Data

- (a) Analysis - Explain why the proposed procurement is necessary. Cover such points as:
- ...What event, action, directive, legislation or combination of these items precipitated the proposed procurement.
 - ...What new or existing application or systems will the procurement support.
 - ...Why are the affected application or systems important.
 - ...How will this procurement solve the problem.
- (b) If the proposed procurement is attributable to expanding workloads, submit performance documentation for machine utilization, unit production, transaction growth/backlog. All documentation must reflect by month the preceding twelve months. Identify all unusual items, such as abnormal usage, seasonal variations, etc.
- (c) Describe all additional personnel authorization by job description and grade level, that will be required and/or will become available for reassignment as a result of this proposed procurement.
- (d) If any environmental changes are required, they should include:
- ...Floor space - address and floor. Include scale layout of existing equipment to be removed/relocated and layout of new equipment.

- ...Power requirement.
- ...Communications services (telephones, mail handling).
- ...Air conditioning and humidity.
- ...Non-raised floor requirements.
- ...Raised floor requirements.
- ...Security.
- ...Other environmental requirements.

(e) List equipment currently in use. Indicate vendor, class/type, model, description, purchased or leased, original purchase price, remaining purchase payments or monthly lease charge, equity, penalties, etc.

IV. Prepare a Schedule of Events chart showings

- ...Site preparation
- ...Personnel acquisition/release
- ...Training
- ...Equipment installation
- ...Conversion
- ...New applications
- ...Acceptance testing
- ...Proposed operational dates

V. Cost Summary (estimated)

Provide a cost estimation summary applicable to this procurement for at least a three-year period. Include:

- ...Personnel (salary and wages)
- ...Site preparation (facilities)
- ...Training/education
- ...Consultant fees

...Equipment

...All other support costs

- VI. Describe all feasible alternatives considered in arriving at the decision to initiate this proposed procurement.
- VII. Provide a comprehensive explanation of the consequences if the proposed procurement is not approved.
- VIII. List any additional comments.



COMMONWEALTH OF MASSACHUSETTS

ADMINISTRATIVE BULLETIN

Executive Office for Administration and Finance

Office of the Commissioner

MASS. AF 1.4: 76-9

OFFICE OF MASSACHUSETTS LIBRARY

June 7, 1976

76-9

TO: ALL STATE AGENCIES

RE: AMENDMENT OF SECTION 4.041 (Services Contracts) of
Administrative Bulletin 74-4

Section 4.041 (Services Contracts) of Administrative Bulletin 74-4, promulgated under authority of Chapter 1230 of Acts of 1973, is hereby amended pursuant to Chapter 7, Section 4, and Chapter 29, Sections 27B and 29A of the Massachusetts General Laws to exclude all Data Processing services contracts by individuals, partnerships, and/or corporations.

Section 4.041 will now read as follows:

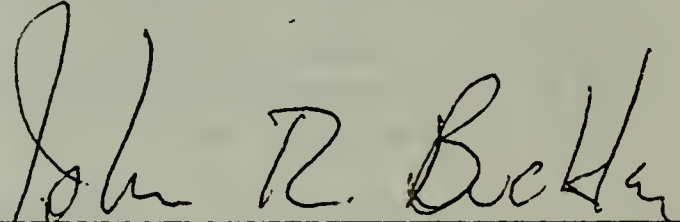
4.04 Approval Procedure

4.041. "An agency intending to contract for services shall complete form AF-4 ("request for authorization of services") in accordance with instructions thereon, which are hereby incorporated in and made a part of these regulations (see paragraph 4.17), including any attachments required thereby. Said form AF-4 and required attachments shall thereupon be submitted to the secretary having charge of the executive office to which the agency is assigned, for his review and for his approval or disapproval. Upon granting his approval, the secretary shall file a copy of the approved form and required attachments with the Comptroller, and four copies of the approved form AF-4 (without attachments) with the Commissioner of Administration, who shall

forward one copy each to the House and Senate Committees on Ways and Means and the Legislative Committee on Post-Audit and Oversight. A copy shall be considered to be "filed" with the Comptroller when it is delivered to the office of the Comptroller's Division. A receipt date imprinted on the form with the use of the Comptroller's date stamp shall be conclusive evidence of the fact and the date of filing.

In the case of all data processing related services, this section will not apply and all data processing services will be governed by section 8.B of these regulations."

From this date, all such Data Processing Services Contracts will be governed by Administrative Bulletin 76-8 (Procurement Procedures for Data Processing Equipment, Data Processing Reproduction Equipment and Related Services) which replaced Sections 8.10 through 8.136 of Administrative Bulletin 74-4.

A handwritten signature in cursive script, reading "John R. Buckley". The signature is written in dark ink and is positioned above a horizontal line.

John R. Buckley
Secretary of Administration



COMMONWEALTH OF MASSACHUSETTS

ADMINISTRATIVE BULLETIN

Executive Office for Administration and Finance

Office of the Commissioner

June 10, 1976

76-10

U OF MASS/AMHERST LIBRARY

TO: ALL AGENCY HEADS

RE: AMENDMENT OF ADMINISTRATIVE BULLETIN NO. 74-17

Administrative Bulletin 74-17 (Freedom of Information) issued December 9, 1974 is hereby amended in order to reflect certain requirements set out in Ch. 684, s. 27 of the Acts of 1975, as well as to reduce photocopying, manpower, and paper costs, by the following revisions:

Section 2.4 (Disclosure of Names and Office Addresses of Certain Officers), sub-section (e) shall be changed to read:

(e) have on hand a copy of c. 1050, Executive Order No. 75, Executive Order No. 108 and these regulations for public inspection.

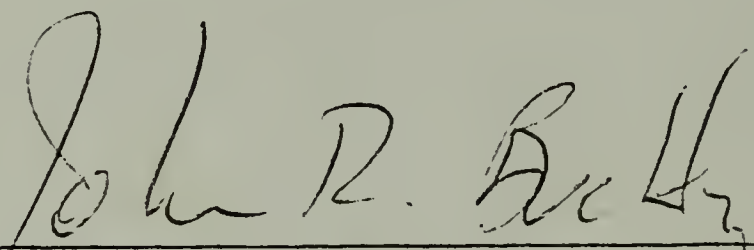
Section 2.4, sub-section (f) is hereby eliminated.

Section 2.6 (Fees) shall be amended to read:

Except where fees for copies of public records are prescribed by law, state agencies shall require the payment of copying fees only in accordance with the provisions or regulations of such agencies and the Secretary of Administration. But in no event, shall state agencies charge more than ten cents per page, except under a schedule approved, after notice and hearing, by the Secretary of Administration.

Section 3.1 (Appeal to Secretary) sub-section (3) shall read:

(3) "and inform the person making the request that c. 1050 includes provisions pertaining to records and the inspection of records."



John R. Buckley
Secretary of Administration

THE UNIVERSITY OF CHICAGO
DEPARTMENT OF CHEMISTRY
CHICAGO, ILLINOIS

RECEIVED
JAN 10 1964

TO THE DIRECTOR
FROM THE DEPARTMENT OF CHEMISTRY

RE: [illegible]

[illegible]

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[illegible]

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